

**Supporting Statement:
OE Recovery Act Financial Assistance Grants
OMB Control Number 1910-NEW**

This supporting statement provides additional information regarding the Department of Energy (DOE) request for processing of the emergency proposed information collection, OE Recovery Act Smart Grid Grant Program (SGGP). The numbered questions correspond to the order shown on the Office of Management and Budget (OMB) Form 83-I, "Instructions for Completing OMB Form 83-I."

1. Explain the circumstances that make the collection of information necessary.

The Department of Energy (DOE) requires collection of information for Recovery Act Smart Grid grants. Sections 1304 and 1306 of the Energy Independence and Security Act of 2007 ("EISA"), enacted on December 19, 2007, Pub. L. 110-140, and amended in Section 405 of the American Recovery and Reinvestment Act of 2009 ("ARRA") authorize the Secretary of Energy ("Secretary") to establish programs to make grants and financial assistance to eligible applicants for qualifying investments. The information to be gathered will provide current information required by DOE project managers to manage individual grants, respond to OMB, congressional and consumer requests, and to guide budget preparation.

2. Indicate how, by whom, and for what purpose the information is to be used.

This information collected is required by Department of Energy program and project managers as part of the due diligence function to ensure the technical merit of the work being done, to assess progress in achieving scheduled milestones, as well as review of cost information to ensure compliance with the statutes. Adequate stewardship of the Federal matching funds to be granted to the applicants cannot be done without this information. The ARRA requires exceptional transparency in the conduct of its programs, and these data are an essential component of what will make that transparency a reality. The information also enables program staff to provide required or requested timely information on program activities to OMB, Congress and the public.

3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological collection techniques or other forms of information technology.

DOE has requested that status reports be submitted by recipients in one of two ways: (1) when part of the supporting documentation for invoices, be submitted in electronic format through DOE's Vendor Inquiry Payment Electronic Reporting System (VIPERS) (grant recipients reach this system via <http://finweb.oro.doe.gov/vipers.htm>); and (2) otherwise, be submitted via DOE web-based project management systems. Electronic submission of reports will result in greater efficiency, timely reporting and a reduced paperwork burden for grantees and DOE program staff. It will allow grantees to update

and modify prior year plans, eliminating the need to retype information on continuing activities.

4. Describe efforts to identify duplication.

The SGGP grants are newly established programs authorized by the Energy Independence and Security Act of 2007 (P.L. 110-140) and the American Recovery and Reinvestment Act of 2009 (P.L. 111-5). To ease the reporting burden on the recipients, DOE has included only those data elements absolutely needed for program management. Under the provisions of ARRA, grantees will be required to report to OMB as well as DOE. However, OMB's Energy Branch has approved the dual reporting.

5. If the collection of information impacts small businesses or other small entities, describe any methods used to minimize burden.

All awardees will be required to submit the monthly data, regardless of their size. There is no practical way to reduce the burden on small businesses without thwarting the transparency and oversight requirements of the ARRA. Small local governments and tribal entities are also subject to the reporting requirements if selected as grantees. While the web-based system should not pose a problem for the local governments, certain tribal entities may have technical difficulties. DOE will provide technical assistance to these tribal entities and has worked closely with their tribal councils and the Bureau of Indian Affairs to ensure that they can comply and will not be penalized for delays due to any technical difficulties they experience.

6. Describe the consequence to Federal program or policy activities if the collection is not conducted or is conducted less frequently, as well as any technical or legal obstacles to reducing burden.

All programs funded through ARRA will be subject to increased attention and scrutiny from OMB, Congress, the media and the public. President Obama has pledged transparency and accountability in the expenditure of ARRA funds. If this information is not collected, DOE will not be able to provide complete reports to OMB or respond to requests for information on ARRA-funded activities and expenditures. If the information is collected less frequently than monthly, DOE will not be able to adequately track activities and funds status against milestones as necessary, and the ability of DOE to provide adequate project management oversight will be compromised. Furthermore, timely information about the progress of these projects or the implementation of the ARRA will not be available to OMB, the White House, Congress and the public. Frequent reporting will also allow any problems, barriers or system bottlenecks to be identified and resolved right away.

7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.

There are none. The information collection is being conducted in a manner that is consistent with OMB guidelines.

8. If applicable, provide a copy and identify the date and page number of publication in the Federal Register of the agency's notice, required by 5CFR 320.8(d), soliciting comments on the information collection prior to submission to OMB. Summarize public comments received in response to that notice and describe actions taken in response to comments. Specifically address comments received on cost and hour burden. Describe efforts to consult with persons outside DOE.

Notice of this information collection has not yet been published in the Federal Register.

9. Explain any decision to provide any payment or gift to respondents, other than remuneration of contractors or grantees.

No payment or gift has been or will be provided to respondents.

10. Describe any assurance of confidentiality provided to respondents and the basis for the assurance in statute, regulation, or agency policy.

No identifiable confidential information is being requested. The transparency requirements of the ARRA are such that awardees must submit certain information for publication on a government-maintained public-access web site; therefore, confidentiality is not an issue.

11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.

No questions of a sensitive, personal or private nature are being asked.

12. Provide estimates of the hour burden of the collection information. The statement should indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated.

Grantees will be required to report monthly on programmatic and financial status. It is estimated that all grantees will spend two hours preparing each report:

The estimate of hour burden of the information collection is as follows:

Total number of unduplicated respondents: 138

Reports filed per grantee: 12

Total annual responses: 1,656

Total annual burden hours: 3,312

Average Burden Per Collection: 12
Per Applicants: 24

The estimated time required for DOE project management staff to review each monthly report is one hour.

Reporting burden summary:

(1) Grantees = 3,312 hours
(2) DOE staff = 1,656 hours
TOTAL **4,968 hours annually**

13. Provide an estimate for the total annual cost burden to respondents or recordkeepers resulting from the collection of information.

The annual cost burden to respondents is estimated at $\$4,500 * 138$ recipients = \$621,000 for the first year and $\$1,000 * 138 = \$138,000$ for each subsequent year.

14. Provide estimates of annualized cost to the federal government.

1,656 hours (132 monthly reports * 12 months) @ \$40 an hour = \$66,240

15. Explain the reasons for any program changes or adjustments reported in items 13 or 14 of OMB form 83-I.

NA – this is a new requirement

16. For collections whose results will be published, outline the plans for tabulation and publication.

NA – no plans to publish results

17. If seeking approval not to display the expiration date for OMB approval of the information collection, explain why display would be inappropriate.

NA – DOE is not seeking approval not to display expiration date.

18. Explain each exception to the certification statement identified in item 19 of OMB form 83-I.

NA – no exceptions are being requested.